

Cornell University

David J. Skorton
President

August 24, 2006

The Honorable Tom Coburn, M.D.
Chairman
Subcommittee on Federal Financial Management,
Government Information, and International Security
Senate Committee on Homeland Security and Government Affairs
439 Hart Senate Office Building
Washington, DC 20510

Dear Chairman Coburn:

I am in receipt of your letter dated July 27, 2006, and am pleased to respond to your inquiry regarding federal support for research at Cornell University. As you point out, Cornell is one of the leading research universities in the United States. We have worked hard to achieve this distinction and are justifiably proud of the accomplishments of our distinguished faculty, researchers, scholars, and staff.

In 2004–2005, the most recent year for which we have figures, our research expenditures totaled \$561.3 million. Of this, \$381 million was from federal sources, with the balance coming from a combination of state, foundation, corporate, non-profit, and philanthropic sources. We are the leading university recipient of federal research dollars in New York State and rank eleventh nationally. I have attached copies of the Office of the Vice Provost for Research's annual reports on research expenditures at Cornell for the years that you requested. We are in the process of compiling data for 2005–2006, and will forward this information when it is complete.

Cornell agrees with you that merit review leads to the most innovative science and the best scholarship. To that end, we have a longstanding and well-documented policy of not pursuing or accepting earmarks from federal agencies that award funds on a competitive basis. These include the National Institutes of Health, the National Science Foundation, the Department of Defense, the Department of Energy, NASA, the National Oceanic and Atmospheric Administration, the National Endowment for the Humanities, the Institute for Museum and Library Services, and the Department of Education's Fund for the Improvement of Post-Secondary Education.

While Cornell's position against earmarking is well known, we do not restrict our faculty from collaborating with colleagues at universities that accept earmarked federal funding. We choose to join the national conversation in support of merit review and leave our colleagues to determine their own institutional policies.

Cornell makes two exceptions to this policy. The first exception is for special research grants funded through the Cooperative State Research, Education, and Extension Service of the United States Department of Agriculture; the second exception is for a bio-based fuel research program funded through the Department of Transportation. In all cases, including those for which we have made exceptions, we believe that the nation would be better served by research that results from competitive, merit-based review.

Our exception for USDA is based on the fact that the Department distributes most funds for agricultural research and extension activities to Cornell and other land grant universities through a statutory formula that requires a dollar-for-dollar state match. In turn, we award all of our USDA formula funds for research through an internal, peer-reviewed competition. Because the formula allows for very little national competition, we accept special research grants – earmarks in the CSREES budget – for 14 longstanding projects. These grants amount to less than 1.5 percent of our total federal research expenditures.

We made our second exception for the bio-based fuel research program, funded through an earmark in the transportation reauthorization bill, because it grew out of a USDA special research grant. If Cornell had not already been a member of the Sun Grant Initiative, a coalition of five land grant universities that coordinates alternative energy research across the country, we would not have participated in this project. I have attached a summary of our special research grants, the Sun Grant Initiative bio-based fuel research program, and a copy of Cornell's earmark policy as you have requested.

In response to your final question, Cornell maintains an Office of Government and Community Relations, with small offices in Washington, DC, and Albany, NY. We file semi-annual federal lobbying disclosure reports as required by the rules of the House and the Senate, as well as the reports required by New York State. As those filings note, we do not employ any contract lobbyists, nor do we have plans to do so.

Thank you for your interest in Cornell University. If you have any questions or would like additional information about our research activities, please contact Dr. Robert Richardson, Senior Vice Provost for Research at (607) 255-7200. He would be most pleased to discuss these matters with you.

Best regards,

A handwritten signature in black ink, appearing to read "David J. Skorton". The signature is fluid and cursive, with the first name "David" being more prominent.

David J. Skorton

ATTACHMENTS

Cornell University Office of the Vice Provost for Research, Research Expenditures, July 1, 2004 – June 30, 2005

Cornell University Office of the Vice Provost for Research, Annual Report FY 2004

Cornell University Office of the Vice Provost for Research, Annual Report FY 2003

Cornell University Office of the Vice Provost for Research, Annual Report FY 2002

Cornell University Office of the Vice Provost for Research, Annual Report FY 2001

Cornell University Office of the Vice Provost for Research, Annual Report FY 2000

Memorandum from Robert C. Richardson, Vice Provost for Research, Cornell University to Members of the Committee on Government Relations of the Cornell University Board of Trustees on Federal Earmarks

Summary of Cornell University USDA Special Research Grants, August 31, 2006



Cornell University
Office of the Vice Provost for Research

RESEARCH EXPENDITURES

July 1, 2004 - June 30, 2005

CORNELL UNIVERSITY

RESEARCH EXPENDITURES

JULY 1, 2004 - JUNE 30, 2005

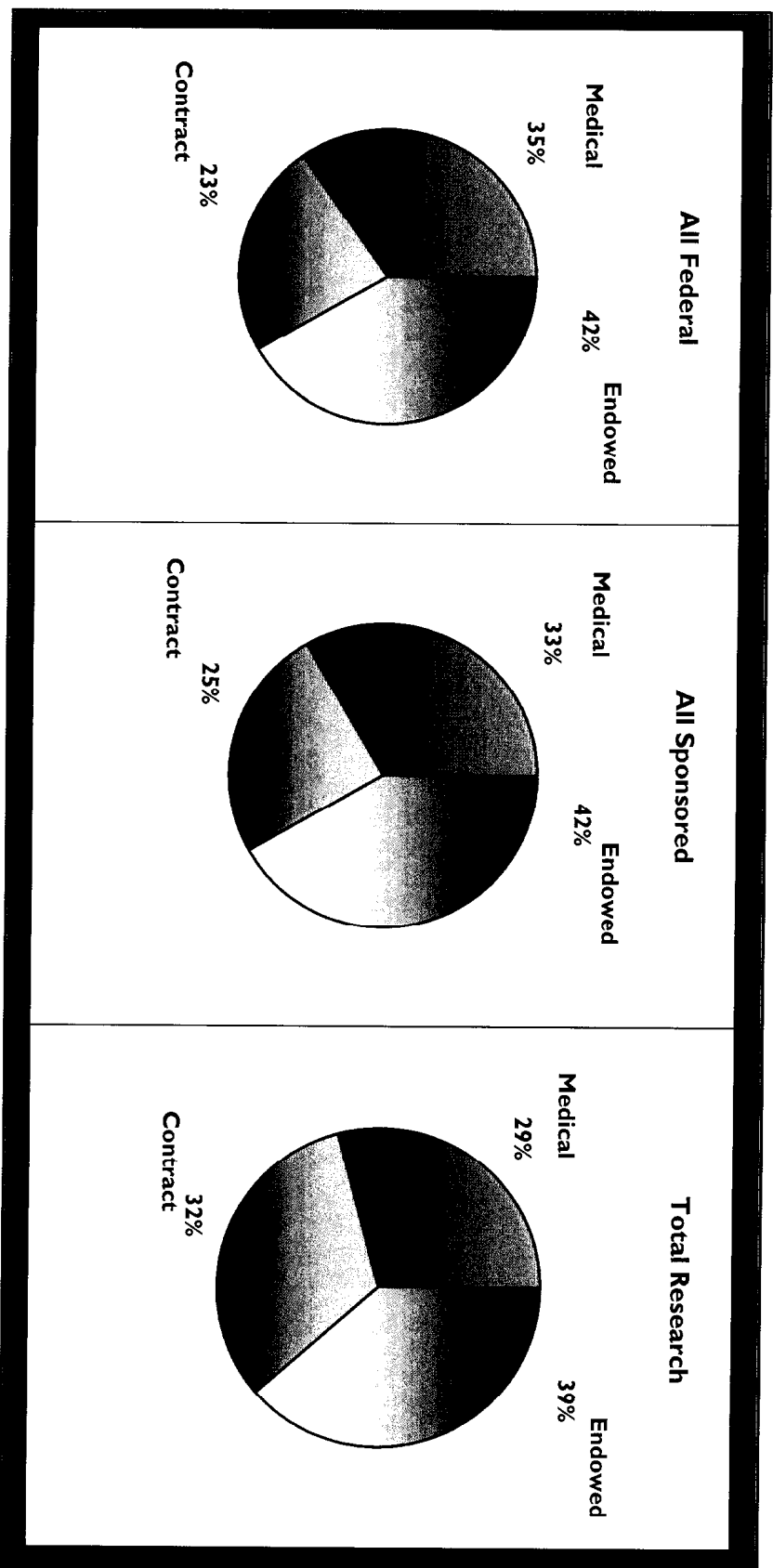
	SPONSORED RESEARCH			BUDGETED RESEARCH			TOTAL RESEARCH	
	Federal Government	Non-Federal	Subtotal Sponsored	Cornell	NY State	Federal Government	Subtotal Budgeted	Total Research Percent of Total
ENDOWED UNITS (ITH)								
Arts & Sciences	\$64,925,576	\$9,589,294	\$74,514,870	\$5,790,963			\$5,790,963	\$80,305,833 14.3
Engineering	45,196,388	15,958,959	61,155,347	3,686,220			3,686,220	\$64,841,567 11.6
NAIC (Arecibo Observatory)	12,256,847	81,371	12,338,218	753,685			753,685	\$13,091,903 2.3
Cornell Theory Center (CTC)	2,518,029	6,778,489	9,296,519	263,337			263,337	\$9,559,856 1.7
Nanobiotechnology Center (NBTC)	4,697,193	274,138	4,971,331	65,148			65,148	\$5,036,479 0.9
Cornell NanoScale S&T Facility (CNF)	13,418,314	538,521	13,956,836	234,518			234,518	\$14,191,353 2.5
CHESS (Synchrotron)	7,491,786	84,300	7,576,086	299,852			299,852	\$7,875,938 1.4
CCMR (Materials Research Central Facility)	2,675,315	61,400	2,736,715	1,381,702			1,381,702	\$4,118,417 0.7
All Other Colleges and Research Units	6,025,806	2,593,283	8,619,089	350,209			350,209	\$8,969,298 1.6
Graduate Student Tuition Support			0	8,903,619			8,903,619	\$8,903,619 1.6
TOTAL ENDOWED	159,205,255	35,959,755	195,165,010	21,729,253	0	0	21,729,253	\$216,894,263 38.6
CONTRACT COLLEGE UNITS (ITH)								
Agriculture & Life Sciences	51,700,056	18,937,995	70,638,051	16,178,914	23,538,709	4,213,843	43,931,466	\$114,569,517 20.4
Veterinary Medicine	24,985,589	5,643,428	30,629,017	2,513,623	6,186,622	366,602	9,066,846	\$39,695,863 7.1
Human Ecology	2,879,961	2,069,760	4,949,721	2,994,048	2,103,005	301,795	5,398,848	\$10,348,569 1.8
Nutritional Sciences	7,386,405	1,111,924	8,498,329	613,704	611,683	146,740	1,372,127	\$9,870,456 1.8
Industrial & Labor Relations	2,155,597	668,684	2,824,280	2,238,959	581,561		2,820,520	\$5,644,801 1.0
TOTAL CONTRACT	89,107,607	28,431,791	117,539,398	24,539,248	33,021,580	5,028,980	62,589,808	\$180,129,206 32.1
TOTAL ITHACA	248,312,862	64,391,546	312,704,408	46,268,500	33,021,580	5,028,980	84,319,061	\$397,023,469 70.7
MEDICAL COLLEGE (NYC)	132,662,130	23,779,723	156,441,853	7,855,000			7,855,000	\$164,296,853 29.3
TOTAL RESEARCH EXPENDITURES	\$380,974,992	\$88,171,269	\$469,146,261	\$54,123,500	\$33,021,580	\$5,028,980	\$92,174,061	\$661,320,322 100.0
PERCENTAGE OF GRAND TOTAL	67.9	15.7	83.6	9.6	5.9	0.9	16.4	100.0

Note: This report does not include unrecovered indirect costs

CORNELL UNIVERSITY

RESEARCH EXPENDITURES BY DIVISION

FISCAL YEAR 2005



CORNELL UNIVERSITY
RESEARCH EXPENDITURES
COMPARISON WITH PRIOR YEAR
FISCAL YEARS 2004 & 2005

	FEDERAL SPONSORED		% Change	TOTAL SPONSORED		% Change	BUDGETED RESEARCH		% Change	TOTAL RESEARCH		% Change
	FY 2004	FY 2005		FY 2004	FY 2005		FY 2004	FY 2005		FY 2004	FY 2005	
ENDOWED UNITS	\$155,770,885	\$159,205,255	2.2	\$187,166,003	\$195,165,010	4.3	\$24,491,234	\$21,729,253	-11.3	\$211,657,238	\$216,894,263	2.5
CONTRACT												
COLLEGE UNITS	75,345,614	89,107,607	18.3	103,611,698	117,539,398	13.4	57,556,595	62,589,808	8.7	161,168,293	180,129,206	11.8
MEDICAL COLLEGE	124,942,728	132,662,130	6.2	150,208,476	156,441,853	4.1	14,691,150	7,855,000	-46.5	164,899,626	164,296,853	-0.4
TOTAL EXPENDITURES	\$356,059,227	\$380,974,992	7.0	\$440,986,177	\$469,146,261	6.4	\$96,738,979	\$92,174,061	-4.7	\$537,725,157	\$561,320,322	4.4

CORNELL UNIVERSITY

SPONSORED RESEARCH EXPENDITURES - FEDERAL AGENCIES

JULY 1, 2004 - JUNE 30, 2005

	DHHS	NSF	Dept of Defense	NASA *	Dept of Agriculture	Dept of Energy	AID	All Others	Total Federal
ENDOWED UNITS (ITH)									
Arts & Sciences	\$15,923,641	\$35,704,645	\$629,665	\$10,487,505	\$59,429	\$1,438,710		\$681,981	\$64,925,576
Engineering	3,735,326	23,086,837	12,610,329	1,949,195	298,919	3,208,392		307,389	\$45,196,388
NAIC		12,033,839		37,764				185,243	\$12,256,847
CTC	48,341	1,743,528	297,901	124,224	285,689			18,346	\$2,518,029
NBTC		4,698,700	11,993	61,858				(75,357)	\$4,697,193
CNF		11,147,186						2,271,128	\$13,418,314
CHESS	2,250,591	5,241,195							\$7,491,786
CCMR (Central Facility)		1,979,725				726,373		(30,783)	\$2,675,315
All Other Colleges and Research Units	486,778	4,650,734			4,022	117,282		766,991	\$6,025,806
TOTAL ENDOWED	22,444,676	100,286,390	13,549,888	12,660,546	648,060	5,490,756	0	4,124,939	\$159,205,255
CONTRACT COLLEGE UNITS (ITH)									
Agriculture & Life Sciences	11,846,817	14,755,242	673,356	443,731	16,508,992	495,849	3,836,403	3,139,667	\$51,700,056
Veterinary Medicine	22,193,930	1,011,643	323,334		1,422,863			33,819	\$24,985,589
Human Ecology	2,063,189	677,674			109,863			29,235	\$2,879,961
Nutritional Sciences	5,191,622		261,469		1,181,223		752,091		\$7,386,405
Industrial & Labor Relations	684,787	139,285			527			1,330,998	\$2,155,597
TOTAL CONTRACT	41,980,345	16,583,844	1,258,159	443,731	19,223,468	495,849	4,588,493	4,533,719	\$89,107,607
TOTAL ITHACA	64,425,021	116,870,234	14,808,047	13,104,277	19,871,527	5,986,604	4,588,493	8,658,658	\$248,312,862
MEDICAL COLLEGE (NYC)	131,264,582		1,397,548						\$132,662,130
TOTAL FEDERAL EXPENDITURES	\$195,689,603	\$116,870,234	\$16,205,595	\$13,104,277	\$19,871,527	\$5,986,604	\$4,588,493	\$8,658,658	\$380,974,992
PERCENTAGE OF GRAND TOTAL	34.9	20.8	2.9	2.3	3.5	1.1	0.8	1.5	67.9

* NASA includes JPL funds under subcontract

CORNELL UNIVERSITY

SPONSORED RESEARCH EXPENDITURES - NON-FEDERAL SOURCES

JULY 1, 2004 - JUNE 30, 2005

	State & Local Governments	Corporations & Trade Assoc.	Foundations	Non-Profit Organizations	All Other Non-Federal	Total Non-Federal
ENDOWED UNITS (ITH)						
Arts & Sciences	\$37,424	\$986,616	\$828,049	\$7,739,001	(\$1,796)	\$9,589,294
Engineering	3,429,914	3,863,990	336,056	7,304,035	1,024,965	\$15,958,959
NAIC		8,965		72,405		\$81,371
CTC	1,088,968	5,284,595		386,033	18,892	\$6,778,489
NBTC	244,163			29,975		\$274,138
CNF	602,551	-64,029				\$538,521
CHESS				84,300		\$84,300
CCMR (Central Facility)				61,400		\$61,400
All Other Colleges and Research Units	955,708	903,462	146,928	566,618	20,567	\$2,593,283
TOTAL ENDOWED	6,358,728	10,983,600	1,311,033	16,243,768	1,062,627	\$35,959,755
CONTRACT COLLEGE UNITS (ITH)						
Agriculture & Life Sciences	5,902,250	1,500,639	1,688,202	9,674,858	172,047	\$18,937,995
Veterinary Medicine	1,328,587	1,233,447	1,045,388	2,024,813	11,193	\$5,643,428
Human Ecology	179,691	361,611	159,964	1,226,177	142,316	\$2,069,760
Nutritional Sciences		219,988	262,481	629,456		\$1,111,924
Industrial & Labor Relations	101,680		468,970	98,034		\$668,684
TOTAL CONTRACT	7,512,209	3,315,685	3,625,004	13,653,337	325,557	\$28,431,791
TOTAL ITHACA	13,870,937	14,299,284	4,936,037	29,897,104	1,388,184	\$64,391,546
MEDICAL COLLEGE (NYC)		8,604,134	10,752,189	1,185,200	3,238,200	\$23,779,723
TOTAL NON-FEDERAL EXPENDITURES	\$13,870,937	\$22,903,418	\$15,688,226	\$31,082,304	\$4,626,384	\$88,171,269
PERCENTAGE OF GRAND TOTAL	2.5	4.1	2.8	5.5	0.8	15.7

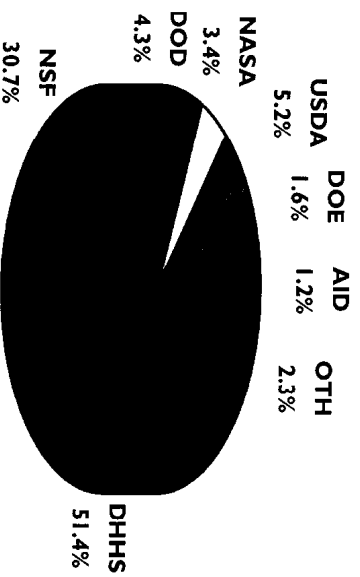
CORNELL UNIVERSITY
SPONSORED RESEARCH EXPENDITURES - FEDERAL AGENCIES
COMPARISON WITH PRIOR YEAR
FISCAL YEARS 2004 & 2005

Federal Agency	FY 2004	Percent	FY 2005	Percent	% Change in Amount
		Fed Spns		Fed Spns	
Department of Health & Human Services	\$180,288,123	51.0	195,689,603	51.4	8.5
National Science Foundation	99,857,185	28.2	116,870,234	30.7	17.0
Department of Defense	20,297,864	5.7	16,205,595	4.3	-20.2
Department of Agriculture	18,512,598	5.2	19,871,527	5.2	7.3
NASA	* 16,601,789	4.7	* 13,104,277	3.4	-21.1
Department of Energy	6,921,532	2.0	5,986,604	1.6	-13.5
Agency for Intl Development	4,163,054	1.2	4,588,493	1.2	10.2
All Others	7,097,523	2.0	8,658,658	2.3	22.0
TOTAL FEDERAL SPONSORED RESEARCH	\$353,739,669	100.0	\$380,974,992	100.0	7.7

* NASA includes JPL funds under subcontract

CORNELL UNIVERSITY **SPONSORED RESEARCH EXPENDITURES** **BY FEDERAL AGENCY** **FISCAL YEAR 2005**

Percent of Federal Sponsored Research



DHHS	Dept. of Health & Human Services
NSF	National Science Foundation
DOD	Dept. of Defense
NASA	National Aeronautics & Space Admin.
USDA	Dept. of Agriculture
DOE	Dept. of Energy
AID	Agency for Intl Development
OTH	All Others

CORNELL UNIVERSITY

TOTAL RESEARCH EXPENDITURES - BY DISCIPLINE FISCAL YEARS 2004 & 2005

* Discipline	FY 2004	Percent of Total	FY 2005	Percent of Total	% Change in Amount
Agriculture	\$59,727,240	11.1	\$63,721,682	11.4	6.7
Arts, Humanities & Cultural Studies	813,947	0.2	1,025,838	0.2	26.0
** Biological/Life Sciences	69,733,699	13.0	75,874,008	13.5	8.8
Computer & Information Sciences	24,652,722	4.6	24,935,459	4.4	1.1
Engineering	63,154,846	11.7	68,588,978	12.2	8.6
Environmental Sciences	4,561,439	0.8	5,230,017	0.9	14.7
Mathematical Sciences	3,319,612	0.6	3,558,366	0.6	7.2
Medical Sciences	164,899,626	30.7	164,296,853	29.3	-0.4
Physical Sciences	90,408,549	16.8	88,989,344	15.9	-1.6
Psychology	3,498,524	0.7	4,288,978	0.8	22.6
Social Sciences	21,218,971	3.9	24,084,222	4.3	13.5
Veterinary Medicine	22,278,928	4.1	26,613,364	4.7	19.5
Graduate Student Tuition Support	8,487,254	1.6	8,903,619	1.6	4.9
Research Administration & Support	969,801	0.2	1,209,595	0.2	24.7
TOTAL RESEARCH EXPENDITURES	\$537,725,157	100.0	\$561,320,322	100.0	4.4

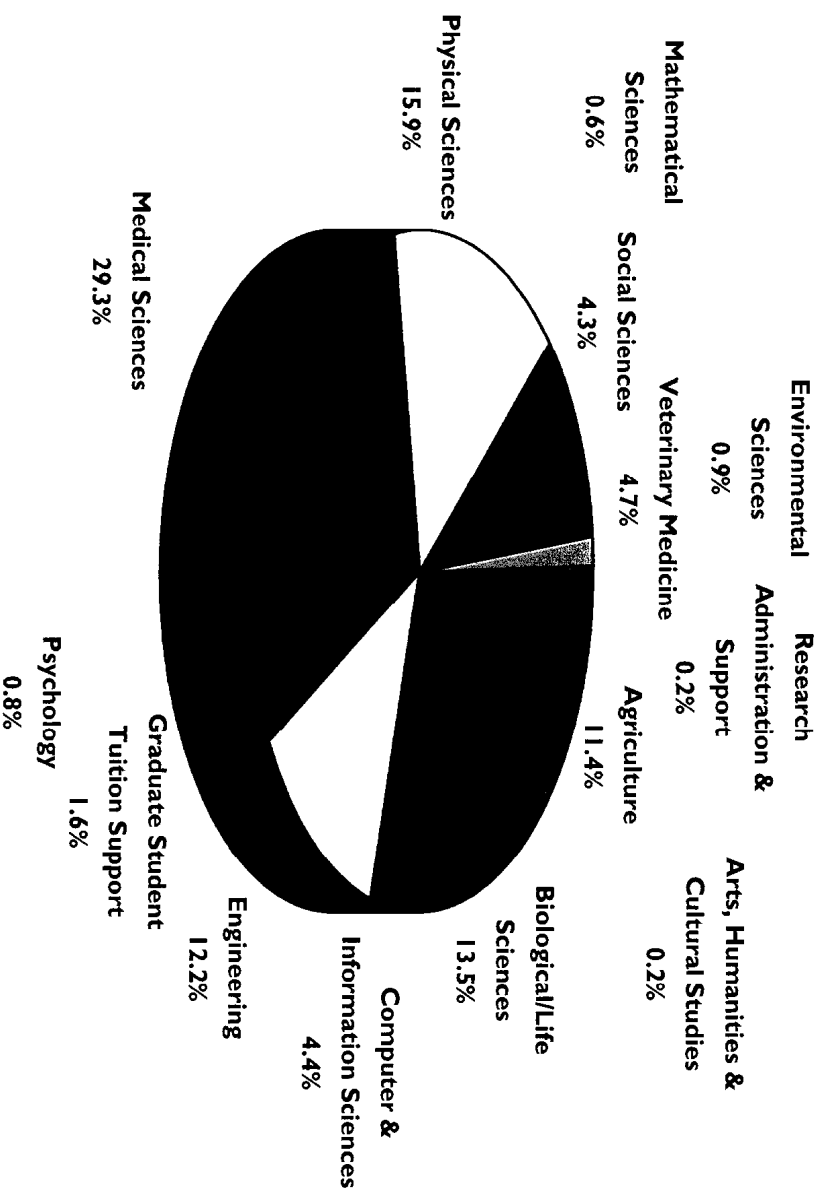
* Disciplines are defined according to guidelines set by the National Science Foundation.

** Includes basic biological sciences in colleges of Arts & Sciences, Agriculture & Life Sciences, Veterinary Medicine and the Division of Nutritional Sciences.

CORNELL UNIVERSITY

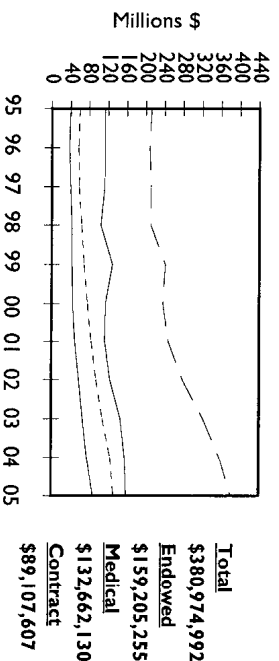
TOTAL RESEARCH EXPENDITURES BY DISCIPLINE

FISCAL YEAR 2005

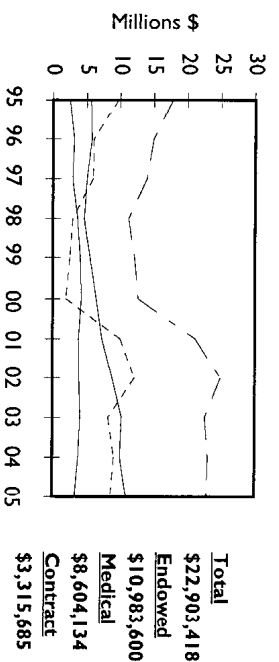


CORNELL UNIVERSITY **TRENDS IN RESEARCH EXPENDITURES** **FISCAL YEARS 1996 TO 2005**

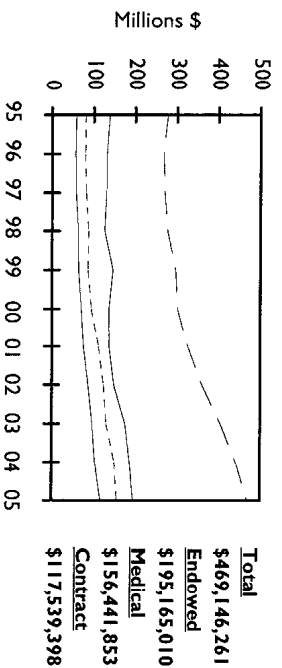
FEDERAL SPONSORED RESEARCH



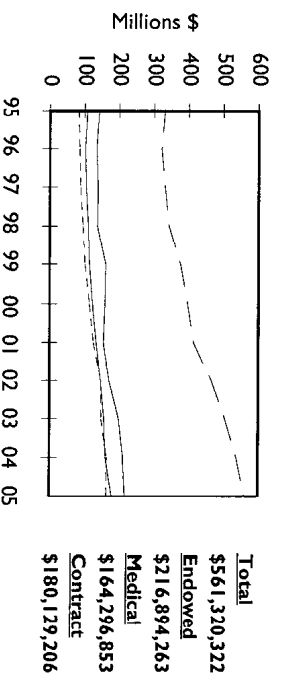
CORPORATE SPONSORED RESEARCH



ALL SPONSORED RESEARCH



TOTAL RESEARCH



All Sponsored Research includes Federal, New York State, Corporate, Foundation, Non-Profit and other sponsored research expenditures.
 Total Research includes all Sponsored and all Budgeted expenditures.